

FORM U5 UNIFORM TERMINATION NOTICE FOR SECURITIES INDUSTRY REGISTRATION

U5 - FULL
01/03/2005

Rev. Form U5 (06/2003)

NOTICE TO THE INDIVIDUAL WHO IS THE SUBJECT OF THIS FILING

Even if you are no longer registered you continue to be subject to the jurisdiction of regulators for at least two years after your registration is terminated and may have to provide information about your activities while associated with this firm. Therefore, you must forward any residential address changes for two years following your termination date or last Form U5 amendment to: CRD Address Changes, P.O. Box 9495, Gaithersburg, MD 20898-9495.

1. GENERAL INFORMATION

First Name: GARY	Middle Name: LYNN	Last Name: LANCASTER	Suffix:
Firm CRD #: 2936	Firm Name: THE O.N. EQUITY SALES COMPANY	CRD Branch #:	Firm NFA #:
Firm Billing Code:	Individual CRD #: 2730640	Individual SSN: REDACTED	Individual NFA #:
Office of Employment Address Street 1: 11020 KING STREET, SUITE 325		Office of Employment Address Street 2:	
City: OVERLAND PARK	State: Kansas	Country: USA	Postal Code: 66210
Private Residence Check Box: If the Office of Employment address is a private residence, check this box. <input type="checkbox"/>			

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2. CURRENT RESIDENTIAL ADDRESS

NOTICE TO THE FIRM

This is the last reported residential address. If this is not current, please enter the current residential address.

From	To	Street	City	State	Country	Postal Code
12/2001	PRESENT	1382 LEIGH CT	WEST LINN	OR	USA	97068

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3. FULL TERMINATION

Is this a FULL TERMINATION? ☒ Yes ☐ No

Note: A "Yes" response will terminate ALL registrations with all SROs and all jurisdictions.

Reason for Termination: * Other * Provide an explanation below

TERMINATED WITH PARENT COMPANY

EXHIBIT

B

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4. DATE OF TERMINATION

Date Terminated (MM/DD/YYYY): 01/03/2005

A complete date of termination is required for full or partial termination. This date represents the actual date that the termination of registration is effective.

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6. AFFILIATED FIRM TERMINATION

No Information Filed

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7. DISCLOSURE QUESTIONS

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IN SECTION 7 IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S). IF THE INFORMATION IN SECTION 7 HAS ALREADY BEEN REPORTED ON FORM U4 OR FORM U5, DO NOT RESUBMIT DRPs FOR THESE ITEMS. REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U5 INSTRUCTIONS FOR EXPLANATION OF ITALICIZED WORDS.

Investigation Disclosure

YES NO

- 7A. Currently is, or at termination was, the individual the subject of an *investigation* or *proceeding* by a domestic or foreign governmental body or *self-regulatory organization* with jurisdiction over *investment-related* businesses? (Note: Provide details of an *investigation* on an Investigation Disclosure Reporting Page and details regarding a *proceeding* on a Regulatory Action Disclosure Reporting Page.)

☐ YES ☒ NO

Internal Review Disclosure

YES NO

- 7B. Currently is, or at termination was, the individual under internal review for fraud or wrongful taking of property, or violating *investment-related* statutes, regulations, rules or industry standards of conduct?

☐ YES ☒ NO

Criminal Disclosure

YES NO

- 7C. While employed by or associated with your *firm*, or in connection with events that occurred while the individual was employed by or associated with your *firm*, was the individual:
1. convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any *felony*? ☐ YES ☒ NO
 2. charged with any *felony*? ☐ YES ☒ NO
 3. convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a *misdemeanor involving*: investments or an *investment-related* business, or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? ☐ YES ☒ NO
 4. charged with a *misdemeanor* specified in 7(C)(3)? ☐ YES ☒ NO

Regulatory Action Disclosure

12:36

- 7D. While employed by or associated with your *firm*, or in connection with events that occurred while the individual was employed by or associated with your *firm*, was the individual involved in any *disciplinary action* by a domestic or foreign governmental body or *self-regulatory organization* (other than those designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission) with jurisdiction over the *investment-related businesses*?

YES NO

☐ ☒**Customer Complaint/Arbitration/Civil Litigation Disclosure**

- 7E. 1. In connection with events that occurred while the individual was employed by or associated with your *firm*, was the individual named as a respondent/defendant in an *investment-related*, consumer-initiated arbitration or civil litigation which alleged that the individual was involved in one or more *sales practice violations* and which:

YES NO

(a) is still pending, or;

☐ ☒

(b) resulted in an arbitration award or civil judgment against the individual, regardless of amount, or;

☐ ☒

(c) was settled for an amount of \$10,000 or more.

☐ ☒

2. In connection with events that occurred while the individual was employed by or associated with your *firm*, was the individual the subject of an *investment-related*, consumer-initiated complaint, not otherwise reported under question 7(E)(1) above, which alleged that the individual was involved in one or more *sales practice violations*, and which complaint was settled for an amount of \$10,000 or more?

☐ ☒

3. In connection with events that occurred while the individual was employed or associated with your *firm*, was the individual the subject of an *investment-related*, consumer-initiated, written complaint, not otherwise reported under questions 7(E)(1) or 7(E)(2) above, which:

(a) would be reportable under question 14I(3)(a) on Form U4, if the individual were still employed by your *firm*, but which has not previously been reported on the individual's Form U4 by your *firm*; or☐ ☒(b) would be reportable under question 14I(3)(b) on Form U4, if the individual were still employed by your *firm*, but which has not previously been reported on the individual's Form U4 by your *firm*.☐ ☒**Termination Disclosure**

- 7F. Did the individual voluntarily *resign* from your *firm*, or was the individual discharged or permitted to *resign* from your *firm*, after allegations were made that accused the individual of:

YES NO

1. violating *investment-related* statutes, regulations, rules or industry standards of conduct?

☐ ☒

2. fraud or the wrongful taking of property?

☐ ☒

3. failure to supervise in connection with *investment-related* statutes, regulations, rules or industry standards of conduct?

☐ ☒

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8. SIGNATURE

Please Read Carefully

All signatures required on this Form U5 filing must be made in this section.

A "Signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

8A. FIRM ACKNOWLEDGMENT

This section must be completed on all U5 form filings submitted by the *firm*.

INDIVIDUAL ACKNOWLEDGMENT AND CONSENT

8B. This section must be completed on amendment U5 form filings where the individual is submitting changes to Part II of the INTERNAL REVIEW DRP or changes to Section 2 (CURRENT RESIDENTIAL ADDRESS).

8A. FIRM ACKNOWLEDGMENT

I VERIFY THE ACCURACY AND COMPLETENESS OF THE INFORMATION CONTAINED IN AND WITH THIS FORM.

Person to contact for further information
TARA TERRELL

Telephone # of person to contact
513-794-6029

Signature of Appropriate Signatory
PAULINE JONES

Date (MM/DD/YYYY)
01/03/2005

Type or Print Name of Appropriate Signatory _____

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INVESTIGATION DRP

No Information Filed

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INTERNAL REVIEW DRP

No Information Filed

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CRIMINAL DRP

No Information Filed

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TERMINATION DRP

No Information Filed

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REGULATORY ACTION DRP

No Information Filed

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CUSTOMER COMPLAINT/ARBITRATION/CIVIL LITIGATION DRP

No Information Filed

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Composite Information

Individual CRD#: 2730640		Individual Name: LANCASTER, GARY L		
Full Legal Name:	LANCASTER, GARY LYNN			
Social Security #:	REDACTED			
Date Of Birth:	04/25/1951			
Residential Address	400 W. 8TH STREET #204 VANCOUVER, WA 98660			
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.			
Statutory Disqualification Status	Clear			
Has Material Difference in Disclosure?	No			
Current CE Status	Satisfied			
Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0
Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0

⚠ The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Current Disclosure Summary

Individual CRD#: 2730640

Individual Name: LANCASTER, GARY L

⚠ No Current Employers Found

Deficiencies With Current Employers

Individual CRD#: 2730640

Individual Name: LANCASTER, GARY L

Exam Information

Individual CRD#: 2730640	Individual Name: LANCASTER, GARY L
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Exam History							
Exam	Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
S6	Official Result	05/03/1996	05/03/1996	PASSED	74		
S7	Official Result	10/01/1998	10/01/1998	PASSED	74		
	Official Result	08/28/1998	08/28/1998	FAILED	58		
S63	Official Result	04/29/1996	04/29/1996	PASSED	74		
S65	Official Result	11/11/1998	11/11/1998	PASSED	88		
	Expired	05/18/1998			0		

⚠ No Current Employers Found

⚠ No Current CE Requirements

Current CE Regulatory Element Status

Individual CRD#: 2730640	Individual Name: LANCASTER, GARY L
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Individual CE Information	
Current CE Status	SATISFIED
CE Base Date	05/09/1996

Next Requirement		
Window	Requirement Type	Session Type
05/09/2007-09/05/2007	Anniversary	101

Form Filing History

Individual CRD#: 2730640	Individual Name: LANCASTER, GARY L
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Filing Date	Form Type	Filing Type	Source
10/17/2005	U5	Full termination	SLOAN SECURITIES CORP. (17930)
07/27/2005	U4	Initial filing	SLOAN SECURITIES CORP. (17930)
01/03/2005	U5	Full termination	THE O.N. EQUITY SALES COMPANY (2936)
03/23/2004	U4	Initial filing	THE O.N. EQUITY SALES COMPANY (2936)
01/17/2003	U5	Full termination	QUICK & REILLY, INC. (11217)
12/16/2002	U4	Relicense	QUICK & REILLY, INC. (11217)
12/09/2002	U5	Full termination	PIPER JAFFRAY & CO. (665)
06/11/2002	U4	IRA Transition Filing	PIPER JAFFRAY & CO. (665)
12/21/2001	U4	Amendment filing	PIPER JAFFRAY & CO. (665)
11/16/2000	U5	Full termination	U.S. BANCORP INVESTMENTS, INC. (17868)
09/22/2000	U4	Relicense	PIPER JAFFRAY & CO. (665)
07/11/2000	U4	Amendment filing	U.S. BANCORP INVESTMENTS, INC. (17868)
07/11/2000	U4	Amendment filing	U.S. BANCORP INVESTMENTS, INC. (17868)
07/05/1999	U4	Conversion Filing	U.S. BANCORP INVESTMENTS, INC. (17868)
07/05/1999	U5	Conversion Filing	BA INVESTMENT SERVICES, INC. (12965)
07/05/1999	U4	Conversion Filing	BA INVESTMENT SERVICES, INC. (12965)
07/05/1999	U5	Conversion Filing	STEPHENS INC. (3496)
07/05/1999	U4	Conversion Filing	STEPHENS INC. (3496)
07/05/1999	U5	Conversion Filing	FIRST INTERSTATE INVESTMENTS, INC. (17101)
07/05/1999	U4	Conversion Filing	FIRST INTERSTATE INVESTMENTS, INC. (17101)

Registrations Summary

Individual CRD#: 2730640	Individual Name: LANCASTER, GARY L
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Current Firm(s):

Registrations Summary With Current Employers

⚠ No Current Employers Found.

Prior Firm(s):

Registrations Summary With Prior Employers

Firm Name	Firm CRD	Start Date	End Date	IARD Regs.	CRD Regs.	SFG Member
SLOAN SECURITIES CORP.	17930	07/2005	10/2005	IN	IN	IN
THE O.N. EQUITY SALES COMPANY	2936	03/2004	01/2005	IN	IN	IN
QUICK & REILLY, INC.	11217	12/2002	12/2002	IN	IN	IN
U.S. BANCORP PIPER JAFFRAY INC.	665	09/2000	09/2002	IN	IN	IN
U.S. BANCORP INVESTMENTS, INC.	17868	04/1999	11/2000	IN	IN	IN
BA INVESTMENT SERVICES, INC.	12965	08/1997	03/1999	IN	IN	IN
STEPHENS INC.	3496	04/1996	12/1996	IN	IN	IN
FIRST INTERSTATE INVESTMENTS, INC.	17101	03/1996	05/1996	IN	IN	IN

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Registrations with Prior Employers

Firm CRD # : 17930	Firm Name : SLOAN SECURITIES CORP.
Employment Start Date	07/27/2005
Employment End Date	10/17/2005
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	SLOAN SECURITIES CORP.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	IGS	07/27/2005	10/17/2005	TERMED	07/29/2005	IN
INY	AG	07/27/2005	10/17/2005	TERMED	07/29/2005	IN
OR	AG	07/27/2005	10/17/2005	TERMED	07/29/2005	IN
IWA	AG	07/27/2005	10/17/2005	TERMED	07/29/2005	IN

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Registrations with Prior Employers

Firm CRD # : 2936	Firm Name : THE O.N. EQUITY SALES COMPANY
Employment Start Date	03/23/2004
Employment End Date	01/03/2005
Reason for Termination	* Other
Termination Comment	TERMINATED WITH PARENT COMPANY
Firm Name at Termination	THE O.N. EQUITY SALES COMPANY

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GS	03/23/2004	01/03/2005	TERMED	03/23/2004	IN
NASD	IR	03/23/2004	01/03/2005	TERMED	03/23/2004	IN
KS	AG	03/23/2004	01/03/2005	TERMED	03/23/2004	IN
OR	AG	03/23/2004	01/03/2005	TERMED	03/23/2004	IN
WA	AG	03/23/2004	01/03/2005	TERMED	03/23/2004	IN

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Registrations with Prior Employers

Firm CRD # : 11217	Firm Name : QUICK & REILLY, INC.
Employment Start Date	12/16/2002
Employment End Date	12/19/2002
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	QUICK & REILLY, INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GS	12/16/2002	01/17/2003	TERMED	12/16/2002	IN
NASD	IR	12/16/2002	01/17/2003	TERMED	12/16/2002	IN
NYSE	GS	12/16/2002	01/17/2003	TERMED	12/16/2002	IN
NYSE	IR	12/16/2002	01/17/2003	TERMED	12/16/2002	IN
CA	AG	12/16/2002	01/17/2003	TERMED	12/16/2002	IN
ID	AG	12/16/2002	01/17/2003	TERMED	12/16/2002	IN
OR	AG	12/16/2002	01/17/2003	TERMED	12/16/2002	IN
OR	RA	12/16/2002	01/17/2003	TERMED	12/16/2002	IN
WA	AG	12/16/2002	01/17/2003	TERMED	12/16/2002	IN

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Registrations with Prior Employers

Firm CRD # : 665

Firm Name : PIPER JAFFRAY & CO.

Employment Start Date	09/22/2000
Employment End Date	09/25/2002
Reason for Termination	* Other
Termination Comment	WE ARE TERMINATING GARY LANCASTER'S REGISTRATION BECAUSE HE WAS DISCHARGED FROM OUR AFFILIATE U.S. BANK FOR FAILURE TO FOLLOW U.S. BANK'S POLICIES AND PROCEDURES. IT IS NOT SALES PRACTICE RELATED.
Firm Name at Termination	U.S. BANCORP PIPER JAFFRAY INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
AMEX	GS	09/22/2000	12/09/2002	TERMED	09/22/2000	N
NASD	GS	09/22/2000	12/09/2002	TERMED	09/22/2000	N
NASD	IR	09/22/2000	12/09/2002	TERMED	09/22/2000	N
NYSE	GS	09/22/2000	12/09/2002	TERMED	09/22/2000	N
NYSE	IR	09/22/2000	12/09/2002	TERMED	09/22/2000	N
CA	AG	09/22/2000	12/09/2002	TERMED	09/22/2000	N
CA	RA	06/11/2002	12/09/2002	TERMED	11/03/2000	N
ID	AG	09/22/2000	12/09/2002	TERMED	09/22/2000	N
OR	AG	09/22/2000	12/09/2002	TERMED	09/22/2000	N
WA	AG	09/22/2000	12/09/2002	TERMED	09/22/2000	N

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Registrations with Prior Employers

Firm CRD # : 17868 Firm Name : U.S. BANCORP INVESTMENTS, INC.

Employment Start Date	04/01/1999
Employment End Date	11/07/2000
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	U.S. BANCORP INVESTMENTS, INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GS	07/05/1999	11/16/2000	TERMED	06/07/1999	N
ID	AG	07/05/1999	11/16/2000	TERMED	06/07/1999	N
OR	AG	07/05/1999	11/16/2000	TERMED	06/07/1999	N
WA	AG	07/05/1999	11/16/2000	TERMED	06/07/1999	N

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Registrations with Prior Employers

Firm CRD # : 12965	Firm Name : BA INVESTMENT SERVICES, INC.
Employment Start Date	08/15/1997
Employment End Date	03/01/1999
Reason for Termination	* Other
Termination Comment	ADMINISTRATIVE TERMINATION.
Firm Name at Termination	IBA INVESTMENT SERVICES, INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	IGS	07/05/1999	03/08/1999	TERMED	10/02/1998	N
NASD	IR	07/05/1999	03/08/1999	TERMED	09/08/1997	N
NYSE	IR	07/05/1999	10/09/1997	TERMED	09/08/1997	N
CA	AG	07/05/1999	03/08/1999	TERMED	09/08/1997	N
ID	AG	07/05/1999	03/08/1999	TERMED	09/08/1997	N
OR	AG	07/05/1999	03/08/1999	TERMED	09/08/1997	N
WA	AG	07/05/1999	03/08/1999	TERMED	09/08/1997	N

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Registrations with Prior Employers

Firm CRD # : 3496	Firm Name : STEPHENS INC.
Employment Start Date	04/12/1996
Employment End Date	12/31/1996
Reason for Termination	* Discharge
Termination Comment	Lack of production.
Firm Name at Termination	STEPHENS INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	IR	07/05/1999	01/06/1997	TERMED	08/26/1996	N
AR	AG	07/05/1999	01/06/1997	TERMED	08/26/1996	N
OR	AG	07/05/1999	01/06/1997	TERMED	08/26/1996	N

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Registrations with Prior Employers

Firm CRD # : 17101	Firm Name : FIRST INTERSTATE INVESTMENTS, INC.
Employment Start Date	03/18/1996

Employment End Date	05/31/1996
Reason for Termination	* Other
Termination Comment	POSITION ELIMINATED
Firm Name at Termination	FIRST INTERSTATE INVESTMENTS, INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	IR	07/05/1999	06/28/1996	TERMED	05/09/1996	N
IOR	IAG	07/05/1999	06/28/1996	TERMED	05/09/1996	N

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